

EC

07-14-1999

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

Atty Dkt No: P1268R1

7-9-99

Assistant Commissioner of



is or copy thereof.

101090789

1. Name of conveying party(ies):

Frederic J. de Sauvage
Robert D. Klein
Heidi S. Phillips
Arnon Rosenthal

2. Name and address of receiving party(ies):

Name: GENENTECH, INC.
Internal Address:
Street Address: 1 DNA Way
City: South San Francisco State: California
ZIP: 94080-4990

Additional name(s) of conveying party(ies) attached? Yes ☒ No

Additional name(s) & address(es) attached? Yes No

3. Nature of conveyance:

☒ Assignment Merger
Security Agreement Change of Name
Other:

Execution Date: 8 June 1999; 9 June 1999; 18 June 1999;
and 8 June 1999



4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)
09/272,835

B. Patent No.(s)

Additional numbers attached? Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Timothy E. Torchia, Ph.D.
GENENTECH, INC.
1 DNA Way
South San Francisco, CA 94080

6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account8. Deposit account number:
07-0630

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Timothy E. Torchia, Ph.D.
Name of Person Signing
Registration No. 36,700

Signature

July 6, 1999
Date

Total number of pages comprising cover sheet, attachments and document: 5

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner of Patents

Box Assignments

Washington, D.C. 20231

07/13/1999 DMUYEN 00000418 070630 09272835

01 FC:581

40.00 CH

Revised (10/11/95)

ASSIGNMENT

WHEREAS, Frederic J. de Sauvage, a citizen of Belgium, residing at 187 Shooting Star Isle, Foster City, CA 94404, and Robert D. Klein, a citizen of USA, residing at 1044 Webster Street, Palo Alto CA 94301, and Heidi S. Phillips, a citizen of USA, residing at 15 Pine Avenue, San Carlos CA 94070, and Arnon Rosenthal, a citizen of USA, residing at 40 Tulip Court, Burlingame, CA 94010 (hereinafter "ASSIGNORS"), have invented a new and useful invention in

GFRalpha3 and Its Uses

for which an application Serial No. 09/272,835 (Docket No. P1268R1) for Letters Patent has been filed by them on 19 March 1999; and

WHEREAS, GENENTECH, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, having a place of business at 1 DNA Way, South San Francisco, California 94080, is desirous of acquiring an interest in and to said invention, and in and to the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern;

That for good and valuable consideration the receipt of which is hereby acknowledged, the said ASSIGNORS have and do hereby sell, assign, transfer and set over unto the said GENENTECH, INC., its successors and assigns, the full and exclusive right, title and interest including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor or any continuation, division, renewal, or substitute thereof, and as to Letters Patents any reissue or re-examination thereof, not only for, to, and in the United States of America, its territories and possessions, but for, to and in all other countries; and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said GENENTECH, INC., in accordance with this Assignment.

Said ASSIGNORS covenant and agree to cooperate with GENENTECH, INC., to enable said GENENTECH, INC. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said ASSIGNORS includes prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said GENENTECH, INC., (a) for perfecting the right, title and interest herein conveyed (b) for prosecuting any of said applications; (c) for filing and prosecuting applications for reissuance of any of said patents; (d) for interference or other priority proceedings involving said invention; and (e) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said ASSIGNORS in providing such cooperation shall be paid for by said GENENTECH, INC.

The terms and covenants of this assignment shall inure to the benefit of said GENENTECH, INC., its successors, assigns and other legal representatives, and shall be binding upon said ASSIGNORS, their respective heirs, legal representatives and assigns.

Said ASSIGNORS hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF we undersign as follows;

South San Francisco

Dated: 6/8/99


Frederic J. de Sauvage

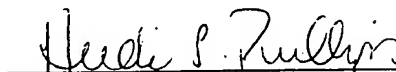
South San Francisco

Dated: 6

Robert D. Klein

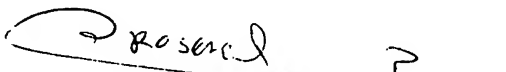
South San Francisco

Dated: 6-18-99


Heidi S. Phillips

South San Francisco

Dated: 6/8/99


Arnon Rosenthal

RECEIVED

SEP 21 1999



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

P126821

SEPTEMBER 13, 1999

PTAS

GENENTECH, INC.
TIMOTHY E. TORCHIA, PH.D.
1 DNA WAY
SOUTH SAN FRANCISCO, CA 94080



101090789A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/09/1999

REEL/FRAME: 010082/0671
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

DE SAUVAGE, FREDERIC J.

DOC DATE: 06/08/1999

ASSIGNOR:

KLEIN, ROBERT D.

DOC DATE: 06/09/1999

ASSIGNOR:

PHILLIPS, HEIDI S.

DOC DATE: 06/18/1999

ASSIGNOR:

ROSENTHAL, ARNON

DOC DATE: 06/08/1999

ASSIGNEE:

GENENTECH, INC.
1 DNA WAY
SOUTH SAN FRANCISCO, CALIFORNIA

94080-4990

21907 U.S. PTO
10/621855
07/16/03

010082/0671 PAGE 2

SERIAL NUMBER: 09272835
PATENT NUMBER:

FILING DATE: 03/19/1999
ISSUE DATE:

LAWAN FLETCHER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

ASSIGNMENT

WHEREAS, Frederic J. de Sauvage, a citizen of Belgium, residing at 187 Shooting Star Isle, Foster City, CA 94404, and Robert D. Klein, a citizen of USA, residing at 1044 Webster Street, Palo Alto CA 94301, and Heidi S. Phillips, a citizen of USA, residing at 15 Pine Avenue, San Carlos CA 94070, and Arnon Rosenthal, a citizen of USA, residing at 40 Tulip Court, Burlingame, CA 94010 (hereinafter "ASSIGNORS"), have invented a new and useful invention in

GFRalpha3 and Its Uses

for which an application Serial No. 09/272,835 (Docket No. P1268R1) for Letters Patent has been filed by them on 19 March 1999; and

WHEREAS, GENENTECH, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, having a place of business at 1 DNA Way, South San Francisco, California 94080, is desirous of acquiring an interest in and to said invention, and in and to the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern;

That for good and valuable consideration the receipt of which is hereby acknowledged, the said ASSIGNORS have and do hereby sell, assign, transfer and set over unto the said GENENTECH, INC., its successors and assigns, the full and exclusive right, title and interest including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor or any continuation, division, renewal, or substitute thereof, and as to Letters Patents any reissue or re-examination thereof, not only for, to, and in the United States of America, its territories and possessions, but for, to and in all other countries; and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said GENENTECH, INC., in accordance with this Assignment.

Said ASSIGNORS covenant and agree to cooperate with GENENTECH, INC., to enable said GENENTECH, INC. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said ASSIGNORS includes prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said GENENTECH, INC., (a) for perfecting the right, title and interest herein conveyed (b) for prosecuting any of said applications; (c) for filing and prosecuting applications for reissuance of any of said patents; (d) for interference or other priority proceedings involving said invention; and (e) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said ASSIGNORS in providing such cooperation shall be paid for by said GENENTECH, INC.

The terms and covenants of this assignment shall inure to the benefit of said GENENTECH, INC., its successors, assigns and other legal representatives, and shall be binding upon said ASSIGNORS, their respective heirs, legal representatives and assigns.

Said ASSIGNORS hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF we undersign as follows;

South San Francisco

Dated: _____

Frederic J. de Sauvage

South San Francisco

Dated: 6/9/99

Robert D. Klein

South San Francisco

Dated: _____

Heidi S. Phillips

South San Francisco

Dated: _____

Arnon Rosenthal

COMBINED DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY

Docket No. P1268R1



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

GFRalpha3 and Its Uses

the specification of which (check one) ☐ is attached hereto or ☒ was filed on 03/19/99 as Application Serial No. 09/272,835 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate have a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed
Yes No

Number	Country	Day/Month/Year Filed
--------	---------	----------------------

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below:

60/079,124	23 March 1998
Application Ser. No.	Filing Date

60/081,569	13 April 1998
Application Ser. No.	Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Elizabeth M. Barnes - Reg. No. 35,059
Walter E. Buting - Reg. No. 23,092
Deirdre L. Conley - Reg. No. 36,487
Janet E. Hasak - Reg. No. 28,616
Sean A. Johnston - Reg. No. 35,910
Dennis G. Kleid - Reg. No. 32,037
Jeffrey S. Kubinec - Reg. No. 36,575

Mark T. Kresnak - Reg. No. 42,767
Wendy M. Lee - Reg. No. 40,378
Richard B. Love - Reg. No. 34,659
Timothy R. Schwartz - Reg. No. 32,171
Craig G. Svoboda - Reg. No. 39,044
Lee K. Tan - Reg. No. 39,447
Timothy E. Torchia - Reg. No. 36,700

Send correspondence to Genentech, Inc.

Attn: Timothy E. Torchia, Ph.D.
1 DNA Way
South San Francisco, CA 94080
Telephone: (650) 225-8674

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

Full name of sole or first inventor

Frederic J. de Sauvage

Inventor's signature

Date

Residence

187 Shooting Star Isle, Foster City, CA 94404

Citizenship

Belgium

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of second joint inventor, if any

Robert D. Klein

Inventor's signature

Date

6/9/99

Residence

1044 Webster Street, Palo Alto CA 94301

Citizenship

USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of third joint inventor, if any

Heidi S. Phillips

Inventor's signature

Date

Residence

15 Pine Avenue, San Carlos CA 94070

Citizenship

USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of fourth joint inventor, if any

Arnon Rosenthal

Inventor's signature

Date

Residence

40 Tulip Court, Burlingame CA 94010

Citizenship

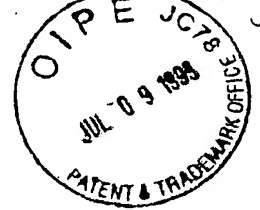
USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080

COMBINED DECLARATION FOR PATENT APPLICATION
AND POWER OF ATTORNEY

Docket No. P1268R1 3



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

GFRalpha3 and Its Uses

the specification of which (check one) ☐ is attached hereto or ☒ was filed on 03/19/99 as Application Serial No. 09/272,835 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate have a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

Yes No

Number	Country	Day/Month/Year Filed
--------	---------	----------------------

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below:

60/079,124	23 March 1998
Application Ser. No.	Filing Date

60/081,569	13 April 1998
Application Ser. No.	Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
----------------------	-------------	--------------------------------------

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Elizabeth M. Barnes - Reg. No. 35,059
Walter E. Buting - Reg. No. 23,092
Deirdre L. Conley - Reg. No. 36,487
Janet E. Hasak - Reg. No. 28,616
Sean A. Johnston - Reg. No. 35,910
Dennis G. Kleid - Reg. No. 32,037
Jeffrey S. Kubinec - Reg. No. 36,575

Mark T. Kresnak - Reg. No. 42,767
Wendy M. Lee - Reg. No. 40,378
Richard B. Love - Reg. No. 34,659
Timothy R. Schwartz - Reg. No. 32,171
Craig G. Svoboda - Reg. No. 39,044
Lee K. Tan - Reg. No. 39,447
Timothy E. Torchia - Reg. No. 36,700

Send correspondence to Genentech, Inc.

Attn: Timothy E. Torchia, Ph.D.
1 DNA Way
South San Francisco, CA 94080
Telephone: (650) 225-8674

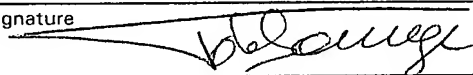
I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

Full name of sole or first inventor

Frederic J. de Sauvage

Inventor's signature



Date

6/8/98

Residence

187 Shooting Star Isle, Foster City, CA 94404

Citizenship

Belgium

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of second joint inventor, if any

Robert D. Klein

Inventor's signature

Date

Residence

1044 Webster Street, Palo Alto CA 94301

Citizenship

USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of third joint inventor, if any

Heidi S. Phillips

Heidi S. Phillips

6-29-99

Inventor's signature

Date

Residence

~~15 Pine Avenue, San Carlos CA 94070~~ 1511 Walnut Dr., Palo Alto CA 94303

Citizenship

USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080

Full name of fourth joint inventor, if any

Arnon Rosenthal

Inventor's signature

Arnon Rosenthal

Date

6/8/99

Residence

40 Tulip Court, Burlingame CA 94010

Citizenship

USA

Post Office Address

1 DNA Way
South San Francisco, CA 94080